

FIG. 1

09348051, 050301

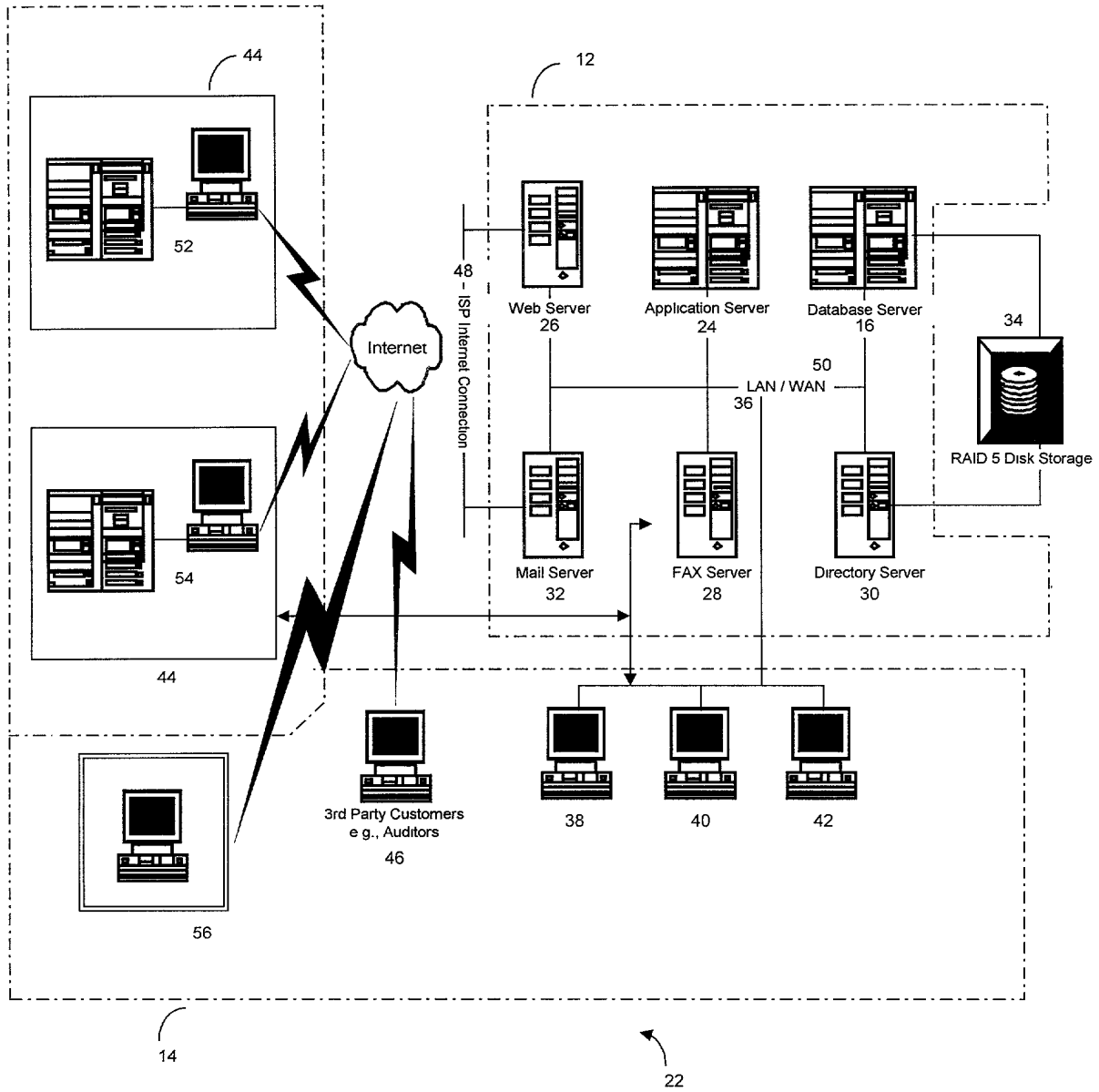


FIGURE 2

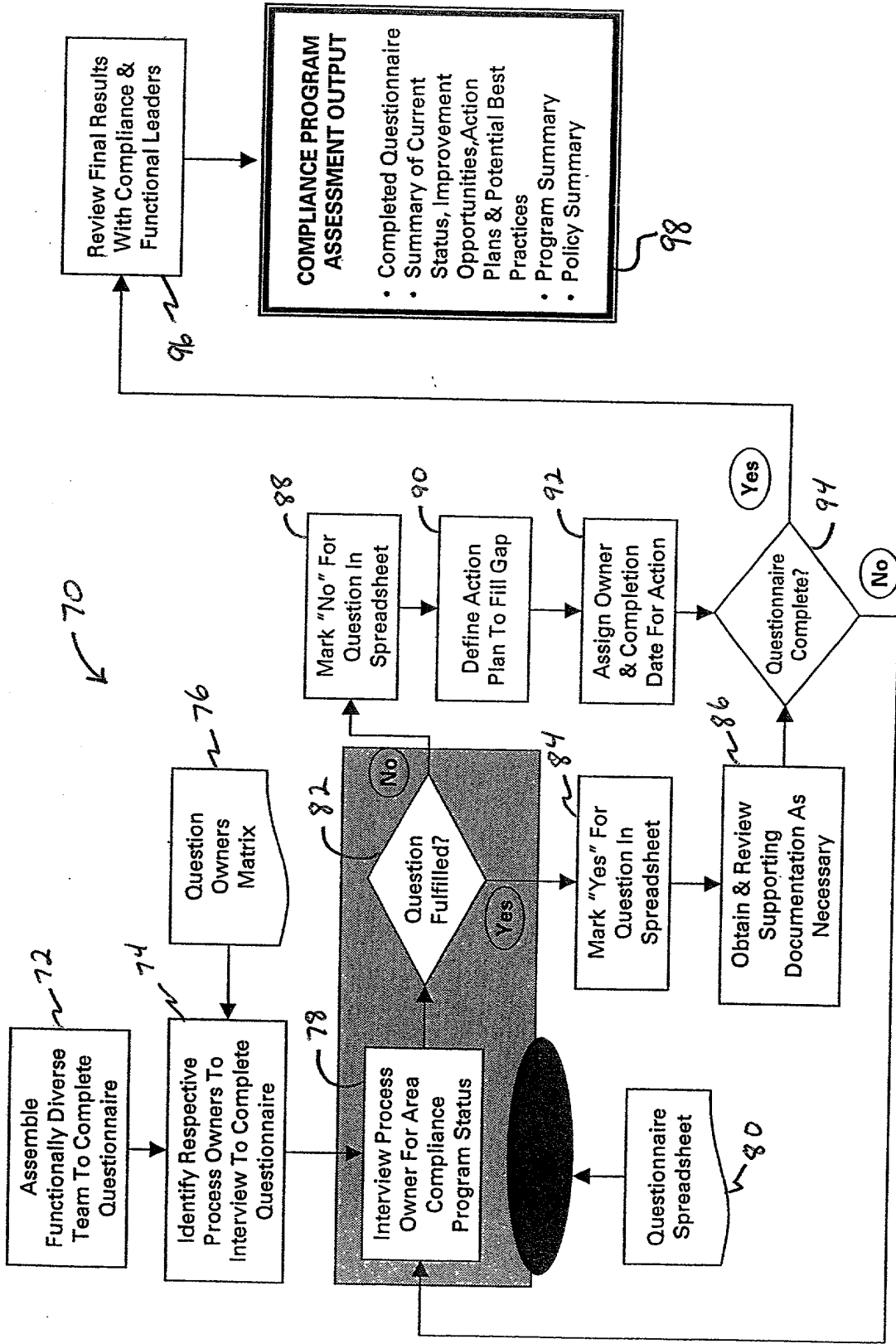


FIG. 3

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Compliance Assessment Areas											
INFRASTRUCTURE	Exec. Staff	HR	Legal	Finance	Mktg	Purchasing	Sales	Regulations	Mktg	Order Mgt	Engineering
I. Leadership Commitment & Operational Ownership	+										
II. Training		+									
III. Communication & Management Reporting			+				+				
IV. Resources											
V. Discipline & Enforcement			+								
ISSUE IDENTIFICATION											
I. Identification		+	+	+	+	+	+	+	+	+	+
II. Roles & Responsibilities		+	+	+	+	+	+	+	+	+	+
III. Issue Identification		+	+	+	+	+	+	+	+	+	+
CTQ MEASUREMENTS											
I. CTQ Measurement Definition		+	+	+	+	+	+	+	+	+	+
II. Monitoring & Tracking		+	+	+	+	+	+	+	+	+	+
III. Audit / Verification			+								
20.2 EQUAL EMPLOYMENT OPPORTUNITY		+									
20.3 HEALTH, SAFETY, & ENVIRONMENTAL PROTECTION					+	+		+			+
20.4 ETHICAL BUSINESS PRACTICES											
I. Due Diligence			+				+				
II. Routines & Controls			+	+			+			+	
III. Pricing & Discounting				+			+		+		
20.5 COMPLYING WITH ANTITRUST LAW									+		
I. Competitors							+		+		
II. Pricing							+		+		
III. M&A Business Arrangements							+		+		
IV. Services & Trade Associations			+								
20.9 FOLLOWING INTERNATIONAL TRADE CONTROLS											
I. Export Controls & Sanctions			+		+					+	
II. Boycott			+		+					+	
III. Import Compliance			+		+	+				+	
20.10 WORKING WITH GOVERNMENT AGENCIES											
I. Regulatory Compliance							+	+			+
30.5 AVOIDING CONFLICTS OF INTEREST		+	+								

FIG. 4

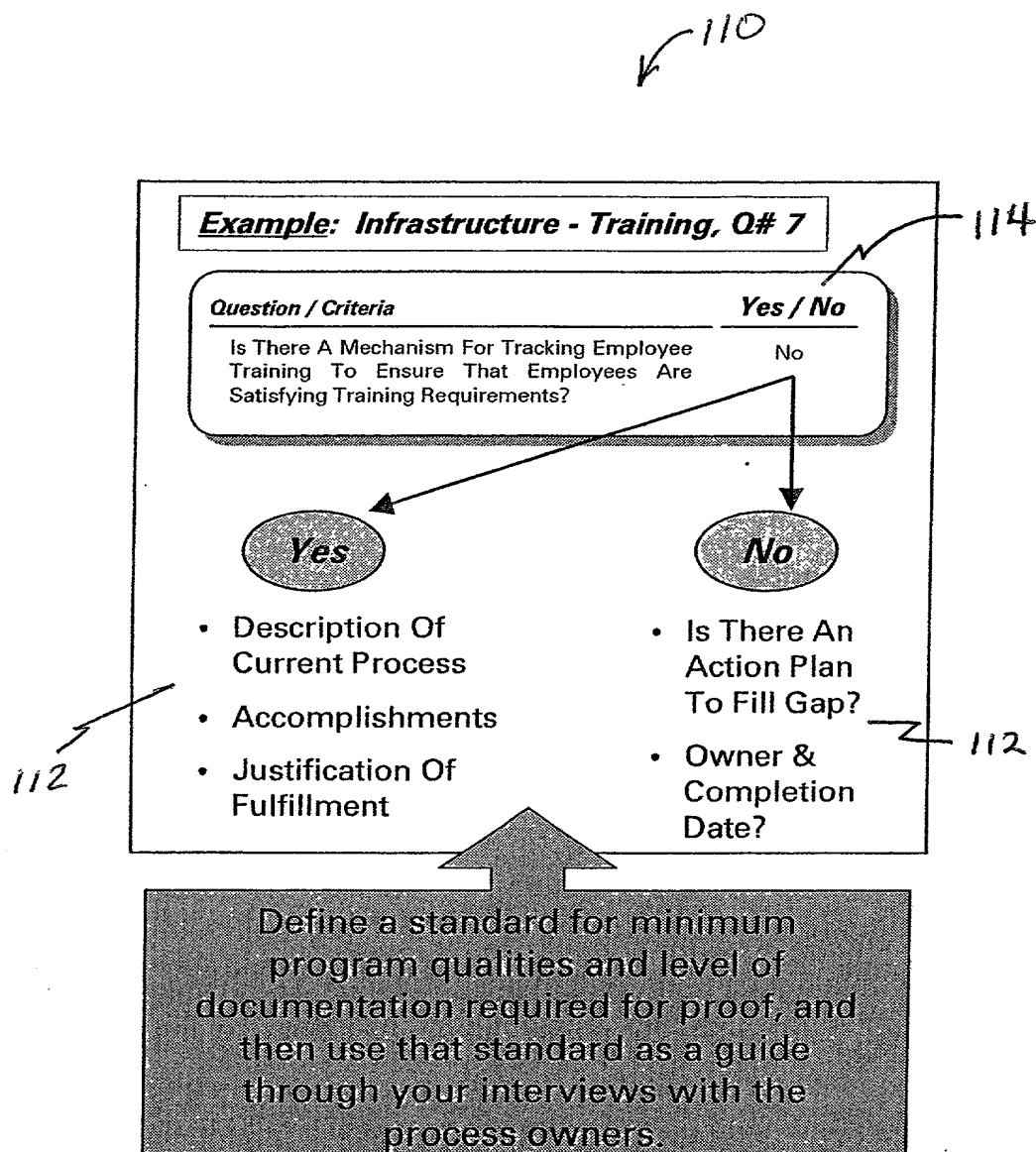


FIG. 5

120

GE Widgets Compliance Program Assessment (CPA)					
Business Location:					
INFRASTRUCTURE					
I. LEADERSHIP COMMITMENT & OPERATIONAL OWNERSHIP					
	Y or N or NA	Current State	Tools/Medium	Objective - Action Plan	Owner
1	Y				
2	Y				
3	Y				
4	N				
5	N				

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128

122

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FIG. 6

QUESTIONNAIRE METRICS
 COMPANY - LOCATION
 DATE

	Score	Opps	% Met
INFRASTRUCTURE			
Leadership, Commitment & Operational Ownership	3	6	50.0%
Training	3	6	50.0%
Communication & Management Reporting	6	9	66.7%
Resources	2	4	50.0%
Discipline & Enforcement	1	1	100.0%
INFRASTRUCTURE	15	26	57.7%
ISSUE IDENTIFICATION	6	8	75.0%
CTQ MEASUREMENTS	2	3	66.7%
20.2 EQUAL EMPLOYMENT OPPORTUNITY	5	5	100.0%
20.3 HEALTH, SAFETY, & ENVIRONMENTAL PROTECTION	2	6	33.3%
20.4 ETHICAL BUSINESS PRACTICES			
Due Diligence	2	4	50.0%

Tabulated Results Spreadsheet - Analysis

FIG. 7

124

130

136 134 132

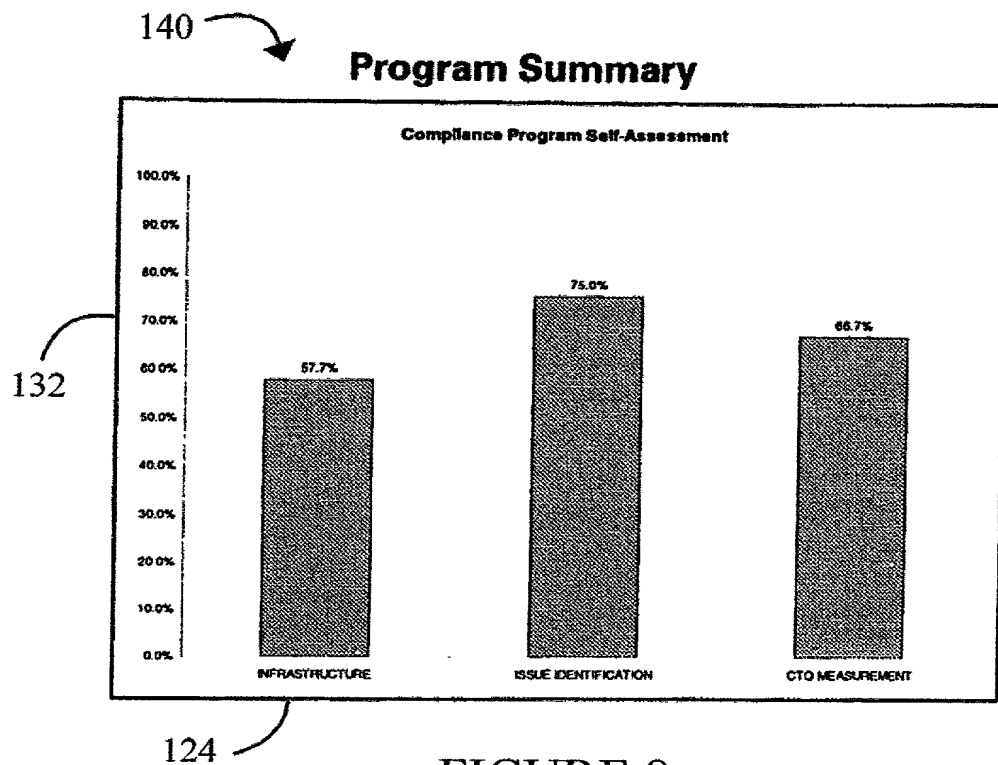


FIGURE 8

Policy Summary

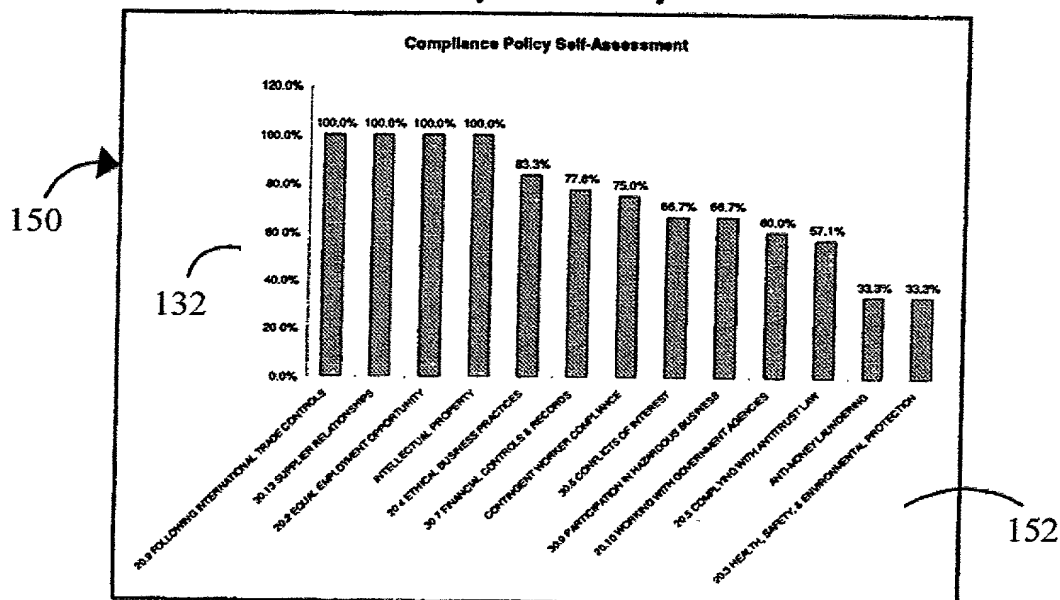


FIGURE 9

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162

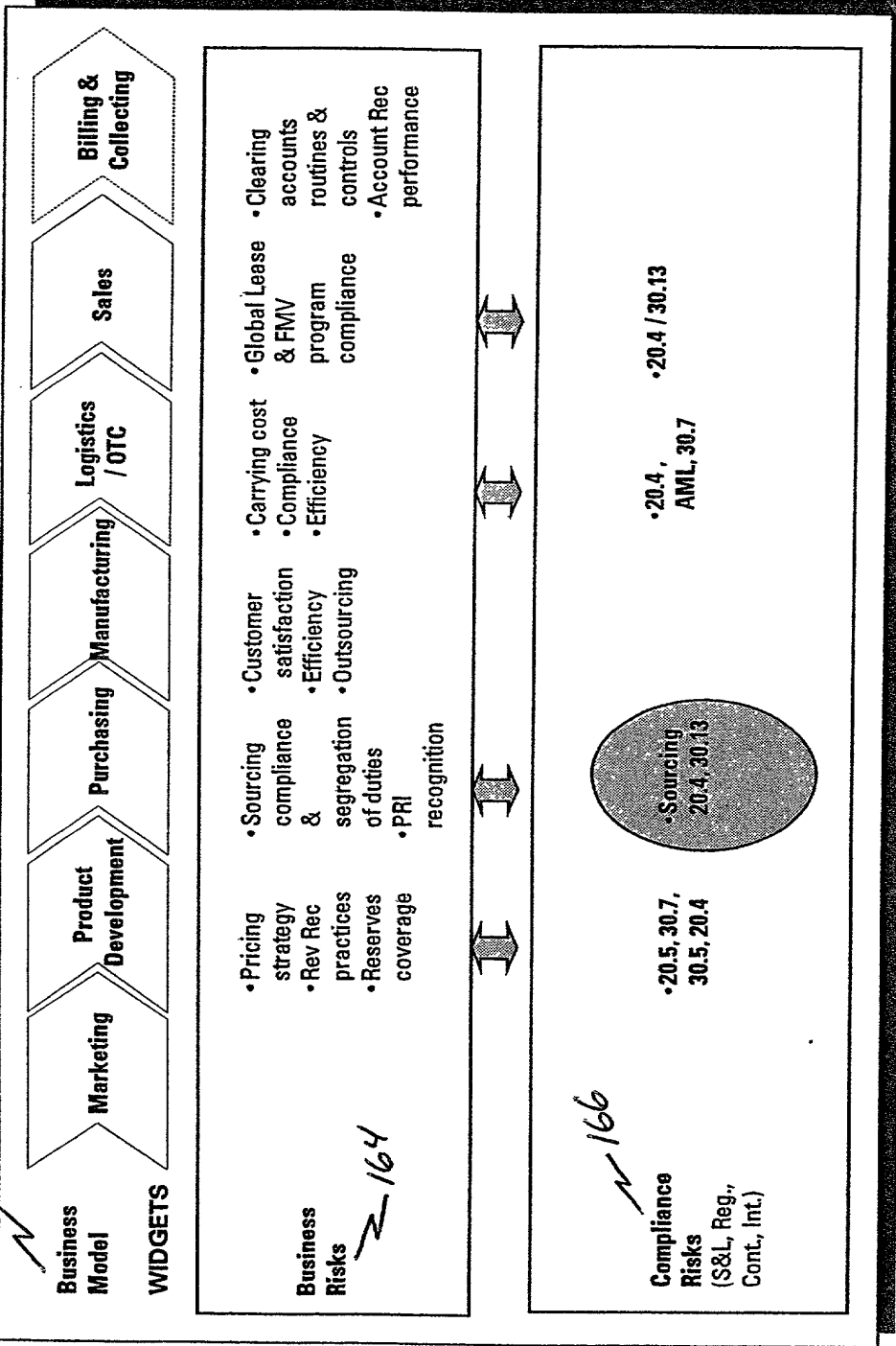


FIG. 10

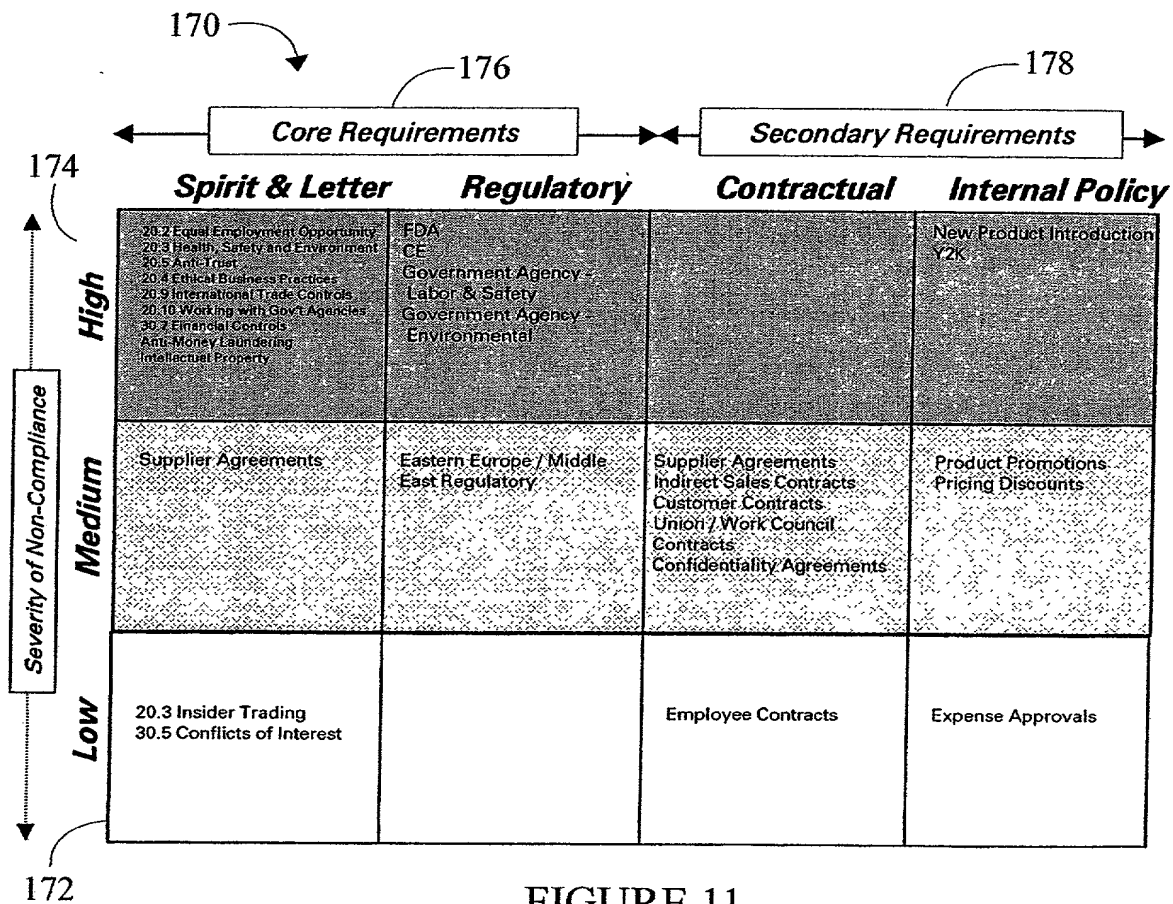
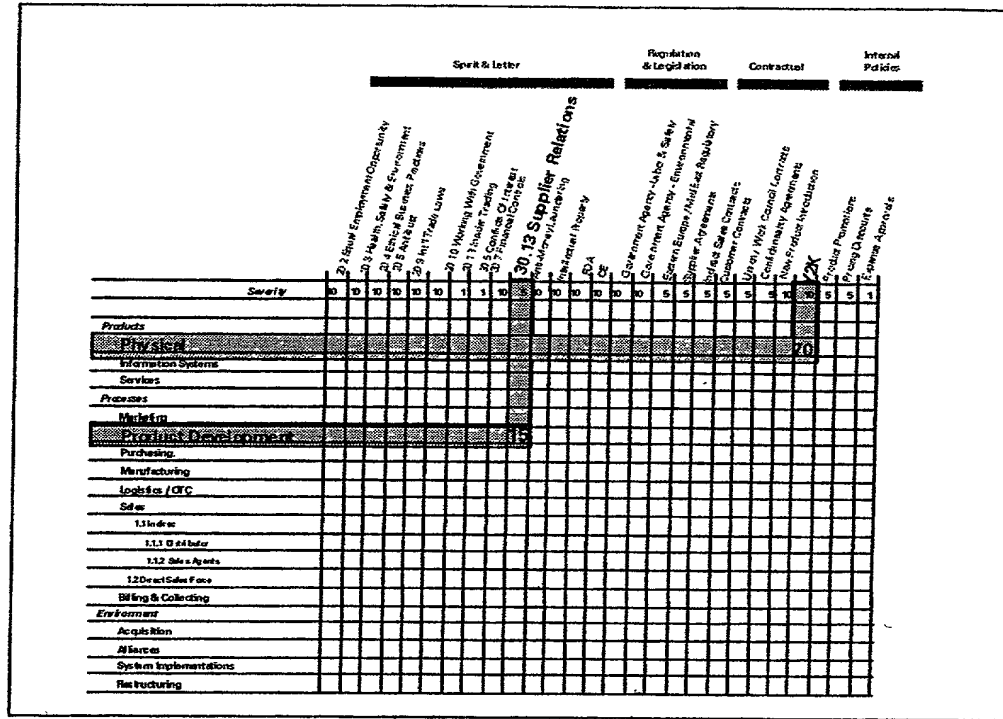


FIGURE 11

190



Example

152

	Severity X	Process Strength	= QFD Score
• 30.13 Product Development	5	3	15
• Y2K Physical Product Upgrades	10	7	70

192

FIGURE 13

TOP SECRET 15084860

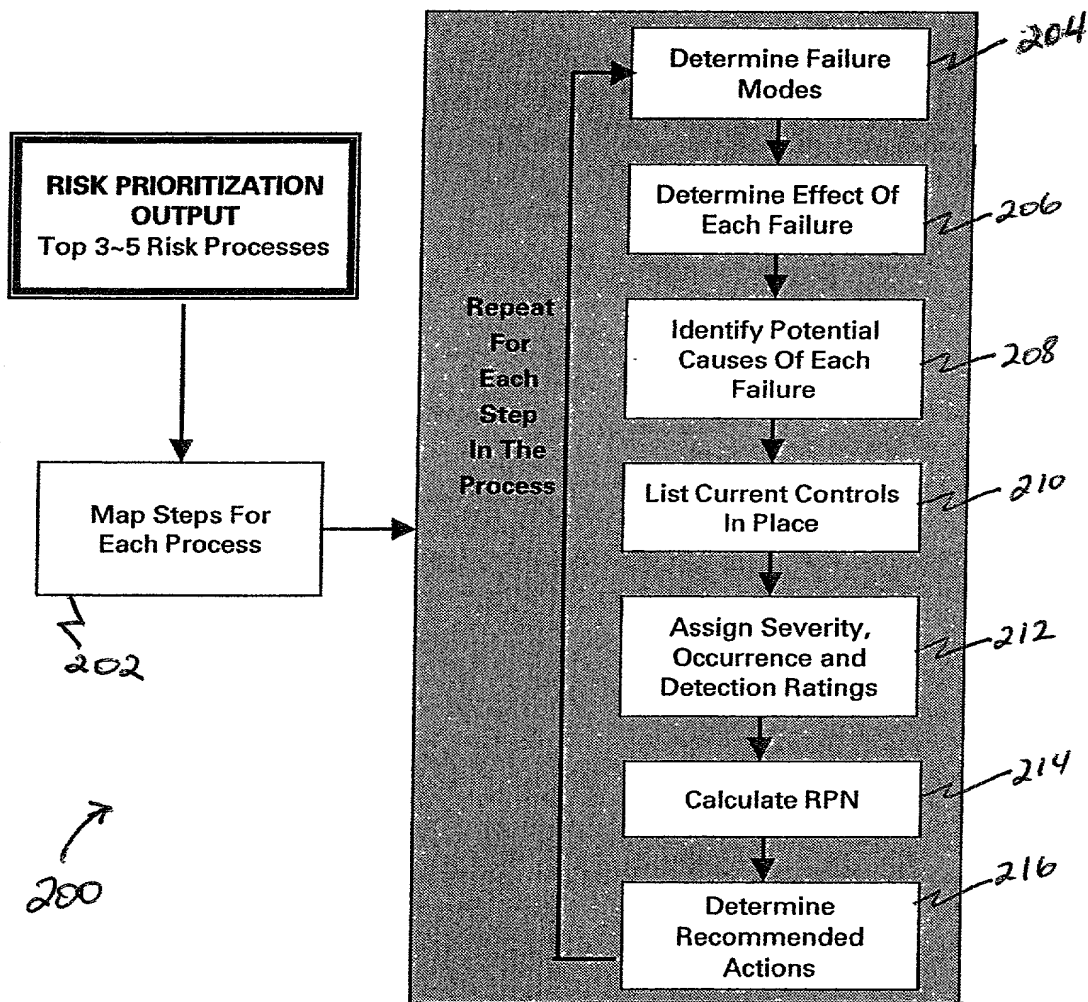


FIG. 14

220

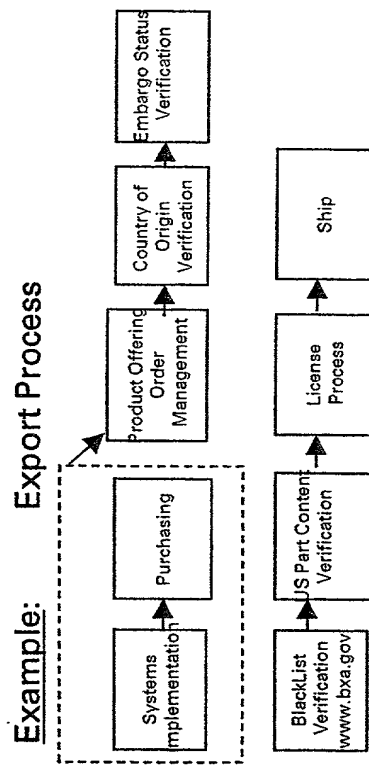


FIG. 15

Process Step/Inputs	Potential Failure Mode	Potential Failure Effects	S E V	Potential Causes	O C	Current Controls	D E T	R P N	Actions Recommended	Resp
Information Systems Implementation	Current Oracle Systems Programming does not deliver required info for 20.9	Inability to acquire Part Origin and US Content easily for the logistics process.	8	No Current Reporting Feasibility in Oracle	10	None. Manual data gathering available but tedious.	7	556	Validate similar risk with Marquette US. Submit an RTA to request the development and implementation of this oracle function.	A.H./R.N.
US Part Content Inspection	The calculation of the percent value of US Part to total order may not be accurate	More Goods than are allowed are shipped to sensitive customers	8	Inaccuracy in part content verification process	7	Approved Internal Export Control Process (Seite 2 von 2) but manually executed	8	486	Submit and RTA to provide a report in Oracle that calculates the U.S. part percentage automatically using the information in the product description, country of origin and cost	A.H. / R.N.
License Verification	Accountability in Process Steps/ Structure	Ship without licenses and potential loss of sales	7	Resource Allocations for this process is undefined.	7	No process controls in place	10	467	Identify Licensing Personnel	B.M. / R.N.

FIG. 16

230

232 236 234 238 246 240 248 244 250 252 242 254

Import Infrastructure Vitality Matrix

Inherent Risk

- 1 Has overall responsibility for Import/ Customs compliance been assigned to specific high-level personnel?
- 2 Is there an Import/ Customs focused compliance training held for: legal, sourcing, finance, and engineering?
- 3 Have implementation tollgates been established to address Customs compliance with new suppliers?
- 4 Does the Import compliance process include monitoring of customs clearance agents to ensure that documents filed on behalf of GE are accurate and complete?
- 5 Does the business or CBSI have a single database of all customs entries for the business?
- 6 Is there an existing database (or equivalent) containing HTSUS classifications for all
- 7 Is there at least one field in each of the following documents that can be found throughout: Entry, Package, PO or equivalent, Receiver, Commercial Invoice?

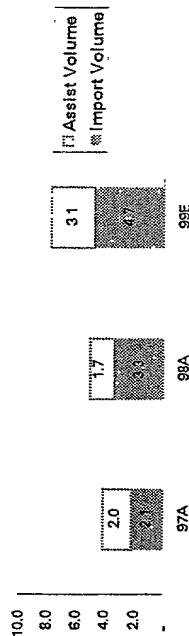
Are there Standard Procedures for:

- 8 Import specialists to manage the Import process?
- 9 Sourcing to use for Import compliance when creating a purchase order?
- 10 Brokers to use when creating entry summaries?
- 11 Valuation of non-transactional shipments (defectives, samples, etc.)?
- 12 Recording, tracking and reporting assists?
- 13 Identifying additional payments made to suppliers?
- 14 Reviewing and issuing NAFTA certifications for eligible products?
- 15 Reviewing and evaluating any Special Programs in which the business participates?

Total Score Out of 15 **===>**

Import CTOs

Import Activity (\$MM)



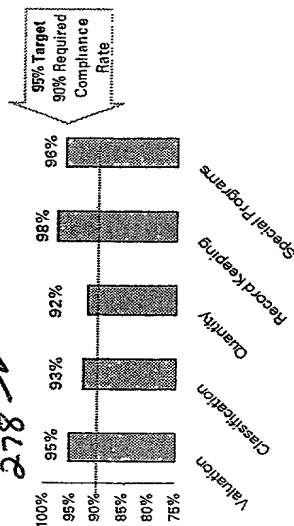
Indicate total \$ value of US imports for past 2 years and current year estimate:

Indicate total \$ value of assists provided to suppliers, including materials, tooling or engineering work provided to the supplier free of charge or at a reduced cost.

	97A	98A	99E
	2.1	3.3	4.7
	2.0	1.7	3.1
	4.1	5.0	7.8

Maintain a 12 month rolling average of import compliance levels based on monthly sales

	Valuation Classification Quantity Record Special
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Process Risk

Quadrant

- I** Relatively High Inherent Risk and Relatively Weak Processes
- II** Relatively High Inherent Risk and Relatively Strong Processes
- III** Relatively Low Inherent Risk and Relatively Strong Processes
- IV** Relatively Low Inherent Risk and Relatively Weak Processes

7544

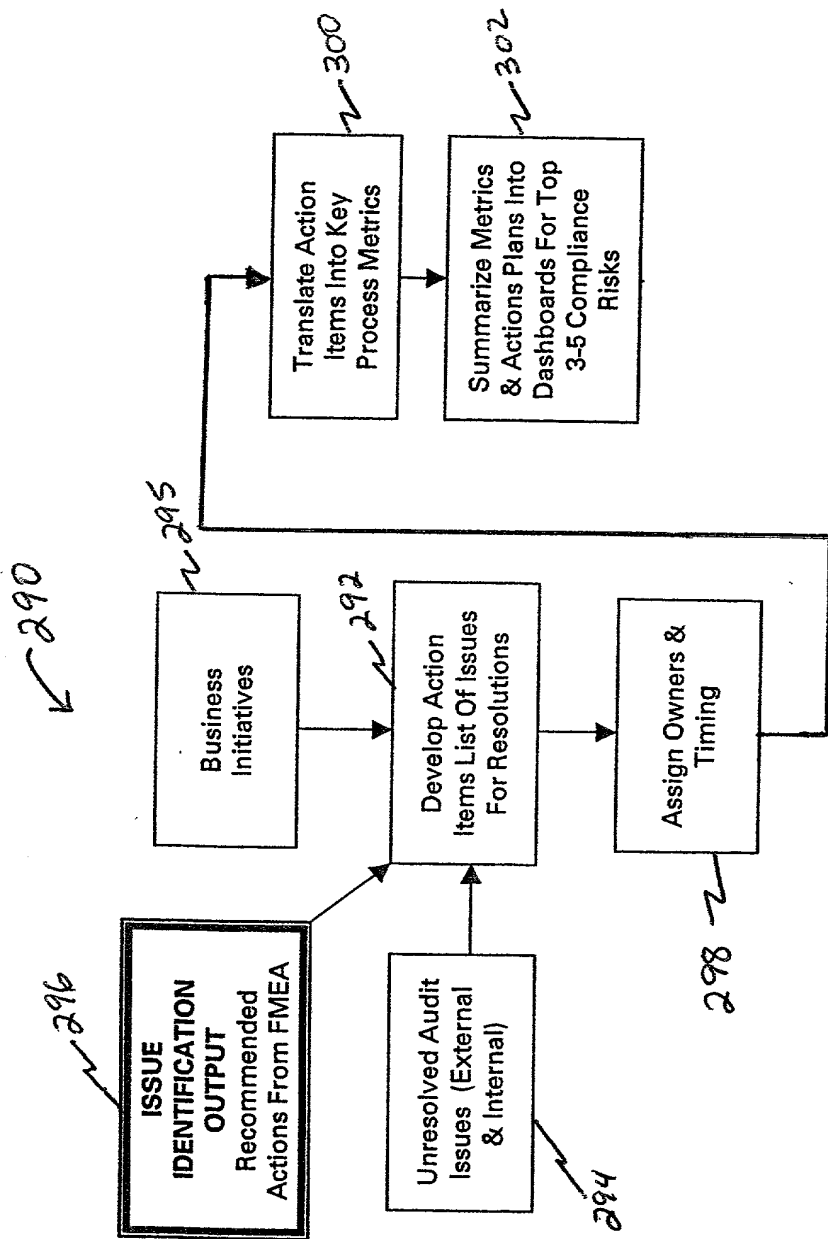


FIG. 18

N 312

Compliance Program Assessment

1. Program Assessment

N 316

Standard Template

N 314

Percentage Score In Program Areas
Action Plans To Improve

2. Policy Assessment

Standard Template

Percentage Score In Policy Areas
Action Plans To Address

Risk Prioritization

3. Summary of Risk Prioritization

Standard Template

Risk To Process Controls Matrix

Issue Identification

4. Drilldown on Top 3-5 High Risk Areas

Business Specific Template
(Examples Attached)

Scorecards
Trends/ Key Issues
Action Plan

Mitigation And Control

5. Schedule 2

Business Specific Template
(Examples Attached)

List Of Actions With Assigned Owner & Timing

6. Dashboards

Business Specific Template
(Examples Attached)

Dashboards on Top 3-5 Risk Areas

Training Metrics

7. Monitor Key Metrics Critical
To Training Success

Business Specific

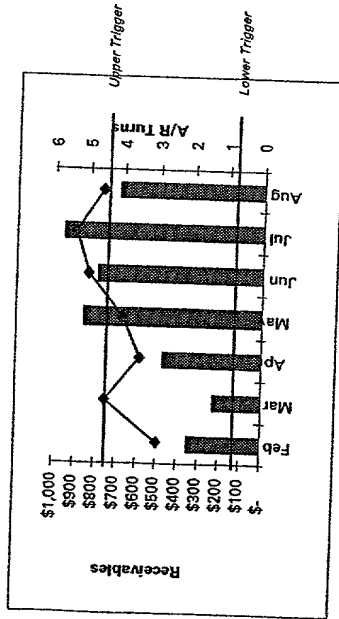
Summarize Corrective Actions, Owners & Timing

FIG. 19
N 310

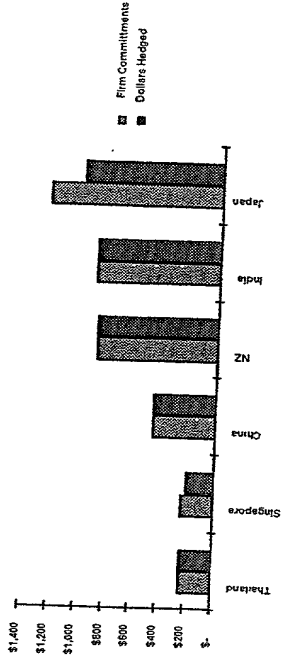
320

CFO Dashboard

30.7 Financial Controls



Trigger	Action Plan	Owner/Timing	Status
• A/R Turns < X	N	N	N
322	324	326	328



Trigger	Action Plan	Owner/Timing	Status
• Firm Com. Not 100% Hedged	N	N	N
322	324	326	328

FIG. 20